

Image  
2875

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Brian N. Tufte

Serial No.: 10/074,362

Examiner: Negron, Ismael

Filing Date: February 12, 2002

Group Art Unit: 2875

For: LIGHTING APPARATUS

Docket No.: 1076.1101106

**TRANSMITTAL SHEET**

Assistant Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

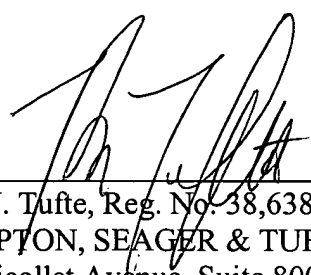
**CERTIFICATE UNDER 37 C.F.R. 1.8:** I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450, on this 16th day of December, 2003.

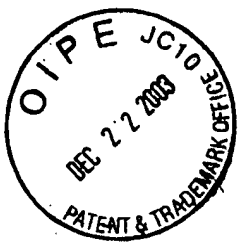
By: \_\_\_\_\_

Brian N. Tufte

We are transmitting herewith the attached:

- ☒ Information Disclosure Statement, Form PTO-1449 and 13 cited references.
- ☒ Certification for Information Disclosure Statement.
- ☒ Please charge any deficiencies or credit any overpayment in the enclosed fees to Deposit Account No. 50-0413.

  
\_\_\_\_\_  
Brian N. Tufte, Reg. No. 38,638  
CROMPTON, SEAGER & TUFTE, LLC  
1221 Nicollet Avenue, Suite 800  
Minneapolis, MN 55403-2402  
Telephone: (612) 677-9050  
Facsimile: (612) 359-9349



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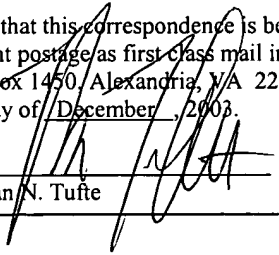
For: LIGHTING APPARATUS

Docket No.: 1076.1101106

**CERTIFICATION FOR INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 CFR §1.97(e)**

Assistant Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

**CERTIFICATE UNDER 37 C.F.R. 1.8:** I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the:  
Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450,  
on this 16th day of December, 2003.

By:   
Brian N. Tufte

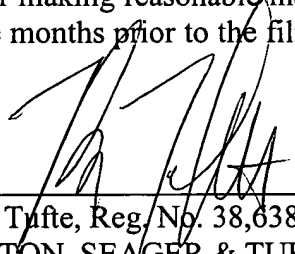
Dear Sir/Madam:

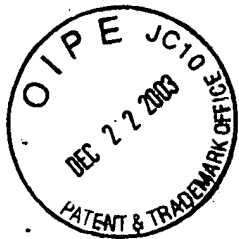
1. This certification is being made for the Information Disclosure Statement accompanying this certification.

2. I, the person(s) signing below certify:

That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the statement. 37 CFR §1.97(e)(2).

Dated: December 16, 2003

  
Brian N. Tufte, Reg. No. 38,638  
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PATENT

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Applicant: Brian N. Tufte

Serial No.: 10/074,362

Examiner: Negron, Ismael

Filing Date: February 12, 2002

Group Art Unit: 2875

For: LIGHTING APPARATUS

Docket No.: 1076.1101106

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Assistant Commissioner for Patents

PO Box 1450

Alexandria, VA 22313-1450

**CERTIFICATE UNDER 37 C.F.R. 1.8:** I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450 on this 16th day of December, 2003.

By: \_\_\_\_\_

Brian N. Tufte

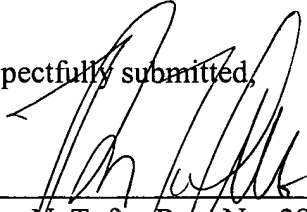
Dear Sirs:

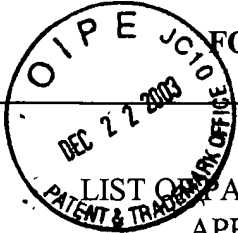
Pursuant to the obligations of candor and good faith imposed by 37 C.F.R. 1.56, the documents listed on the attached PTO-1449 are hereby disclosed.

No representation is intended to be made hereby that any of the cited references establishes, by itself or in combination with other information, a prima facie case of unpatentability of any claim of the present case.

Respectfully submitted,

Dated: December 16, 2003

  
\_\_\_\_\_  
Brian N. Tufte, Reg. No. 38,638  
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 <b>FORM PTO-1449</b>  <b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>	<b>Atty. Docket No.:</b> 1076.1101106	<b>Serial No.:</b> 10/074,362
	<b>Applicant:</b> Brian N. Tufte	
	<b>Filing Date:</b> February 12, 2002	<b>Group Art:</b> 2875

### U.S. PATENT DOCUMENTS

Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
	3,885,144	05/1975	Lewis et al.			
	4,625,266	11/1986	Winter			
	5,023,762	06/1991	Tieszen			
	5,337,225	08/1994	Brookman			
	5,430,627	07/1995	Nagano			
	5,485,355	01/1996	Voskoboinik et al.			
	6,065,852	05/2000	Crumley			
	6,082,867	07/2000	Chien			
	6,129,442	10/2000	Hoefling et al.			
	6,186,649	02/2001	Zou et al.			
	6,278,827	08/2001	Sugiyama et al.			
	6,523,986	02/2003	Hoffman			
	6,526,200	02/2003	Davie			

### FOREIGN PATENT DOCUMENTS

Examiner Initial	Document No.	Date	Country	Translation Yes No

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)


**EXAMINER:**

**DATE CONSIDERED:**

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.